



Rocky Mountain
Remediation Services, L.L.C.
... protecting the environment

PROCEDURE

DOCUMENT CONTROL PROGRAM

DC-06.01

Revision 0

Date Effective: 02/17/97

APPROVED FOR INTERIM USE:

[Signature] 2/17/97
Sr. Vice President, Administration

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1.0 PURPOSE

This procedure provides direction for the identification, revision control, issuance, receipt, and disposition of RMRS controlled documents. These instructions ensure that controlled documents are identified, protected, distributed to and used at the locations where the prescribed activities are performed.

This procedure implements DOE Order 5700.6C, Quality Assurance; 10 CFR 830.120, Quality Assurance Requirements; DOE Order 5480.19, Conduct of Operations; and Section 6.4.1 of the RMRS Quality Assurance Program Description (QAPD) (RMRS-QAPD-001).

2.0 SCOPE

This procedure applies to all RMRS employees and subcontractors involved in the preparation and/or use of RMRS controlled documents for quality affecting activities or processes. This procedure only applies to documents developed and controlled for use within RMRS or RMRS subcontractors.

Note: Document identification numbers for all controlled documents are assigned and maintained by the RMRS Document Control (DC) staff. DC maintains a block of document and Document Modification Request (DMR) numbers provided by the K-H Policy & Procedures organization for Site level documents generated by RMRS personnel. (Electronic copies of the DMR are also available through RMRS DC.) DC facilitates transmittal of Site-level documents to Site Document Control for maintenance and distribution.

This document does not apply to correspondence control, drawing control, or forms control.

3.0 DEFINITIONS

The following definitions are specific to this procedure. Other terms used may be located in the Quality Assurance Glossary of Terms in the Site Quality Assurance Manual, or in the RFETS Site Documents Requirements Manual (SDRM) Glossary of Terms. (Both of these documents are available in the RMRS Model Offices.)

Controlled Copy. A copy of an active, current, approved, controlled document used by an individual to perform work.

ADMIN RECORD

A-SW-002393

Controlled Copy Number. The unique number assigned to an individual's copy of a controlled document.

Controlled Document. For the purposes of this procedure, a controlled document is an active, current, approved document generated to support RMRS activities and is used to describe how work is to be accomplished, to produce quality affecting data, and to support and affect a Rocky Flats Cleanup Agreement (RFCA) decision or deliverable. This includes, but is not limited to, policies, program directives, manuals, procedures, instructions, plans. (See SDRM for new definitions of these document categories.) A controlled document is also used when national security, health, safety, and the environment is impacted and when identified by RMRS organizations as requiring control. Refer to RMRS Controlled Document Type List, Appendix 1.

Controlled Document Distribution List. A list prepared and updated by the Responsible Manager, and maintained by RMRS DC, that identifies the individuals designated to receive a specific controlled document and any changes.

RMRS Document Control. The functional organization in RMRS responsible for the maintenance and distribution of RMRS controlled documents.

Document Control Log. A log maintained either electronically or in hard copy maintained by the RMRS DC that identifies all RMRS controlled documents.

Information Only Copy. A copy of a controlled document that is distributed for information purposes only. Such documents are stamped "INFORMATION ONLY," and are excluded from capture in the RMRS DC Log. Work cannot be performed to an Information Only copy.

Canceled or Obsolete Document. A document that is no longer required for program/project use, will not be superseded, and is removed from controlled distribution.

Site-Level Controlled Document

A document that has Site-applicable requirements and instructions and is used site-wide.

Superseded Document. A previously released controlled document that has been replaced in its entirety by another controlled document or revision.

4.0 RESPONSIBILITIES

4.1 Responsible Manager (functional title)

- Identify documents within respective organization that are to be controlled.
- Ensure that controlled documents are generated, reviewed, and approved in accordance with applicable procedures.
- Obtain unique document identification number and/or revision indicator from RMRS Document Control.
- Ensure documents meet records acceptance criteria stated in 1-V41-RM-001, Records Management Guidance for Records Sources, Section 6.3. (May refer to the last eight items in Appendix 3.)
- Provide master document, DHF, and electronic copy of document to RMRS Document Control for distribution and maintenance.

- Ensure that documents under their cognizance are changed, revised, superseded, or canceled when needed.
- Ensure identified personnel are aware of and understand the requirements of this procedure.

4.2 RMRS Document Control (functional title)

- Assign, log, and track controlled document numbers.
- Prepare document or binder covers, if appropriate.
- Maintain and distribute RMRS controlled documents.
- Facilitate transmittal of Site-level documents generated by RMRS to Site Document Control for maintenance and distribution.
- Remove superseded or canceled documents from service.
- Ensure the maintenance and protection of current document/revision and DHFs, and transmit to RMRS Records Center when document is revised, superseded, or canceled.

4.3 Controlled Copy Holders (functional title)

- Provide receipt acknowledgment and handle documents in accordance with this procedure.

4.4 RMRS Records Center (functional title)

- Index and maintain previous controlled document revisions and DHFs.
- Transmit records to Site Records Management for archival.

5.0 INSTRUCTIONS

5.1 Identify Controlled Documents

RMRS Managers identify documents within their respective organization that are to be controlled. (Refer to Controlled Document definition above, and RMRS Controlled Document Type List, Appendix 1.)

5.2 Prepare, Review, and Approve Controlled Documents

Responsible Manager determines the need for a document or change and whether the document applies only to RMRS or has Site-applicable requirements and directions (Site-level). (Ref. QA-05.01, Preparation and Control of RMRS Documents.)

Site-Level Documents

- (1) Site personnel prepare and revise documents in accordance with the provisions of SDRM.
- (2) Distribute and control in accordance with Site procedure 1-77000-DC-001, Document Control Program. (RMRS DC will facilitate this process.)

RMRS Internal Documents

- (1) RMRS personnel prepare, revise, review, and approve documents in accordance with RMRS procedure QA-05.01, Preparation and Control of RMRS Documents.
- (2) Responsible Manager initiates document using the Controlled Document Checklist, Appendix 2. (Becomes part of the DHF when completed.)

5.3 Control Process

Note: Logs maintained electronically will have a process to ensure daily backup.

RMRS DC

- (1) Provide document identification numbers and revision numbers from Document Control Log.
- (2) Verify document and DHF contents against Receipt Acceptance Criteria Checklist (Appendix 3).
- (3) Prepare document or binder covers, if appropriate.
- (4) Assign each copy holder a copy number.
- (5) Prepare Document Transmittal Acknowledgment Notice (DTAN), Appendix 4, and instructions.
- (6) Develop or update a Table of Contents, if appropriate.
- (7) Stamp document copies with a red ink CONTROLLED COPY stamp and write in copy holder number.
- (8) Distribute document with the DTAN and instructions to identified copy holder by the Effective Date established with the approving manager.
- (9) Distribute INFORMATION ONLY copy of document to Standards Management organization, in accordance with SDRM.
- (10) Update and maintain Document Control Log(s). The Log(s) may be in electronic or hard copy form and will contain:
 - document number and title
 - originating organization,
 - revision number,
 - controlled distribution list, and
 - date issued.
- (11) Maintain current master controlled document, disk copy, and current DHF in one-hour fire rated cabinets.
- (12) When revised, superseded, or canceled, forward document or previous revision, as applicable, and DHF to RMRS Records Center for protection and subsequent disposition.

5.4 Copy Holder Receipt of Controlled Documents

Controlled Copy Holder

- (1) Sign and date the DTAN to acknowledge receipt of the document and compliance with instructions.
- (2) Follow all instructions on the instruction sheet, including removal and destruction of superseded or cancelled documents.
- (3) Return the DTAN to the RMRS DC within the time specified.

5.5 Receipt Follow-up

Document Control

- (1) If a copy holder does not acknowledge receipt of the controlled document with the time specified, issue a 2nd Notice (Appendix 5).
- (2) After an additional ten working days, notify the copy holder and the copy holder's manager that the copy holder has been removed from controlled distribution, and request return of the controlled copy.

5.6 Changes in Controlled Distribution

Note: Controlled documents are not to be transferred from one copy holder to another, unless the copy is audited for completeness and current status by DC, and the controlled distribution log is revised.

- (1) Responsible manager notifies RMRS DC of changes in controlled copy holder and location, etc.

5.7 Information Only Copies

Copies of controlled documents not used to perform work are stamped INFORMATION ONLY and are not subject to updates.

5.8 Disposition of Controlled Documents

Note: Copy holder may retain canceled or obsolete document for information only provided the document is stamped by DC.

- (1) Responsible Manager notifies RMRS DC in writing to cancel a controlled document.
- (2) DC notifies all copy holders of canceled documents with instructions on a DTAN.

RMRS Records Center

- (1) Disposition controlled documents and DHFs as required.

6. RECORDS

The following documents generated during the performance of this procedure must be controlled as follows:

<u>Document</u>	<u>Record Type</u>	<u>Disposition</u>
Document History File	QA, Non-Permanent	Document Control maintain current document/revision and DHF in one-hour file cabinets until revised, superseded, or canceled. Transmit previous revision to RMRS Records Center, where retained for 12 months after document is superseded or canceled. Then formally transmit to the Site Records Management organization for long term storage in accordance with the provisions of 1-V41-RM-001, Records Management Guidance for Records Sources.
Controlled Document/Revisions	QA - AR (if CERCLA related)	Retained for 12 months after document is superseded or canceled. Then formally transmit to the Site Records Management organization for long term storage in accordance with the provisions of 1-V41-RM-001, Records Management Guidance for Records Sources. AR documents are retained by the RMRS Records Center for three years following a Record of Decision. Then formally transmit to the Department of Energy for long term storage in accordance EPA guidance.
Document Transmittal Acknowledgment Notice and Document Inquiry	QA, Non-Permanent	Maintain with current document/revision and DHF until document is revised, superseded, or canceled. Then destroy.

7. REFERENCES

- 7.1 DOE Order 5700.6C, Quality Assurance
- 7.2 10 CFR 130.120, Quality Assurance Requirements
- 7.3 DOE Order 5480.19, Conduct of Operations
- 7.4 RMRS-QAPD-001, RMRS Quality Assurance Program Description
- 7.5 1-MAN-001-SDRM, RFETS Site Documents Requirements Manual
- 7.6 QA-05.01, Preparation and Control of RMRS Documents
- 7.7 1-V41-RM-001, Records Management Guidance for Records Sources
- 7.8 1-77000-DC-001, RFETS Document Control Program

APPENDIX 1
CONTROLLED DOCUMENT TYPE LIST

Following is a list of documents to be controlled by the RMRS Document Control staff. These documents include, but are not limited to:

Categorical Exclusions
Closure Plans
Contractor Plans
D&D Plans and Final Reports
Data Management Plans
Decision Documents
Feasibility Study
Field Sampling Plan
Geologic Characterization Plans
Geotechnical Procedures
Groundwater Monitoring Plans
Guidance Documents
Hazardous Substance List (at management discretion)
Health and Safety Plans
Health Effects Assessment Summary Tables
Instruction
Log Books
Management Directive
Management Plan
Manual
Monitoring, Analysis, and Testing Plans
Operating and Maintenance Manuals
OU Work Plan
Policy
Procedure
Procurement Requirements
Project Management Plans
Quality Program Plan
Quality Assurance Program Description
RCRA Facility Investigation Work Plan
RCRA Feasibility Study
Remedial Investigation Report
Remedial Investigation/Feasibility Study
Safety Plan
Sampling and Analysis Plans
Technical Reports
Test Plans
Well Abandonment Plans
Work Plan and support documents (as appropriate)

Received by Document Control _____ Date Issued _____

APPENDIX 3
RECEIPT ACCEPTANCE CRITERIA

Document Control personnel shall review controlled documents for the following criteria prior to their release:

- ☐ Unique identification number is assigned and on every page
- ☐ Revision indicator, if applicable, is correct
- ☐ Approval signature(s) are present and correct
- ☐ Site-level document/revision is authorized by a "Document Modification Request" (DMR) Form with all blocks completed or marked NA.
- ☐ RMRS document/revision is accompanied by completed Document Control Checklist.
- ☐ Completed Patent Clearance Forms, if applicable.
- ☐ Completed Security Classification Authorization signature, if applicable.
- ☐ Completed Safety reviews exemption or concurrence, if applicable.
- ☐ Controlled distribution list, or update if applicable, is provided.
- ☐ Document owner is designated
- ☐ The attached cover/approval sheet is correct for the document type.
- ☐ All pages, as stated, are included and correct.
- ☐ Written/typed documents are legible, reproducible, with imaging quality as follows:
 - ☐ Clear and distinct image of the characters or pictorial information on the recording medium (paper) must be formed.
 - ☐ Prepared in indelible medium, preferably black ink against a light background. (Pencil lead is not acceptable.)
 - ☐ Contains no correction fluid or correction tape of any type.
 - ☐ Information is not scratched out or obliterated or other extraneous information hand written on the document.
 - ☐ Text is not obliterated with stamps or other marks.
 - ☐ No portion of any page shall be missing due to tearing or folding of record edges that may obliterate recorded information.
 - ☐ If a photocopy of a document is to be submitted, the generation of the copy submitted for processing must be as close to the original as possible.

NOTE: If the document does not meet the above criteria, return the document to the identified owner for correction.

APPENDIX 4
DOCUMENT TRANSMITTAL ACKNOWLEDGMENT NOTICE



Rocky Mountain
Remediation Services, L.L.C.
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Document Transmittal
Acknowledgement Notice

2nd Notice

Sent by: Document Control
Building 116
Rocky Flats, P.O. Box 464
Golden, CO 80402-0464

Ph.: (303) 966 - 5430
FAX: (303) 966 - 4641

DOCUMENT INQUIRY: SECOND NOTIFICATION OF DOCUMENTS TRANSMITTED TO YOU.

Our records indicate that we have not received receipt acknowledgement for the documents transmitted to you on . Please sign below to verify receipt of documents OR notify ER Document Control if you did not receive the documents.

Signed acknowledgement must be received within 14 days of the date of the transmittal. Failure to respond to either the initial Document Transmittal Acknowledgement Notice (DTAN) or this 2nd notice will result in cancellation from controlled distribution of this document(s).

Document No.

Document Title

SAMPLE DOCUMENT

R

cc:

Signed receipt acknowledgement is required within 14 days of the transmittal date.

Please return this form signed to RMRS Document Control, Bldg 116 by 3/3/97

Recipient's Signature

Date

APPENDIX 5
SECOND NOTICEDocument Transmittal
Acknowledgement Notice

1st Notice

Sent by: RMRS DOCUMENT Control
Building 116
SUSAN VERSPOHL
Ph.: (303) 966 - 5430
FAX: (303) 966 - 4641

The following documents are being transmitted to you. Signed acknowledgement must be received within 14 days of the date of the transmittal.

The documents being transmitted to you are:

Document No.	Document Title
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SAMPLE DOCUMENT

R

Instructions:

Signed receipt acknowledgement is required within 14 days of the transmittal date.

Please return this form signed to RMRS Document Control, SUSAN VERSPOHL Bldg 116 by 3/3/97

Recipient's Signature_____
Date